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| <b>Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br>(use as many sheets as necessary) |  |  | <b>Complete if Known</b> |                      |
|   |  |  | Application Number       | 09/930119            |
| Sheet 1 of 1  |  |  | Filing Date              | 8/15/2001            |
|   |  |  | First Named Inventor     | Schofield            |
|   |  |  | Art Unit                 | 2838 2143            |
|   |  |  | Examiner Name            | PW4                  |
|   |  |  | Attorney Docket Number   | 13072BAUS02U 120-174 |

| U.S. PATENT DOCUMENTS |                          |  |                           |  |   |
|-----------------------|--------------------------|--|---------------------------|--|---|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number                            | Issue Date MM-<br>DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       |                          | Number - Kind Code <sup>2</sup> (if known) |                           |  |   |
| JH                    |                          | US-5,889,600                               | 03/30/1999                | McGuire  | <b>RECEIVED</b><br><br><b>APR 17 2003</b><br><br>Technology Center 260          |
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|                       |                          | US-  |                           |  |   |
|                       |                          | US-  |                           |  |   |

| FOREIGN PATENT DOCUMENTS |                          |   |                                |  |   |                |
|--------------------------|--------------------------|---|--------------------------------|--|---|----------------|
| Examiner<br>Initials*    | Cite<br>No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures Appear | T <sup>4</sup> |
|                          |                          | Country Code <sup>3</sup> - Number <sup>2</sup> - Kind Code <sup>5</sup> (if known) |                                |  |   |                |
|                          |                          | IPER for PCT/US01/25520   |                                | Nortel Networks Ltd.                               |   |                |
|                          |                          |   |                                |  |   |                |
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| Examiner<br>Signature |  | Date<br>Considered | 2/11/05 |
|-----------------------|--|--------------------|---------|

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<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.  
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PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

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| Application Number  |   |    |   | 09/930.119               |  |
| Filing Date   |   |    |   | August 15, 2001          |  |
| First Named Inventor  |   |    |   | SCHOFIELD, Bruce A.      |  |
| Art Unit  |   |    |   | 2685 2143                |  |
| Examiner Name   |   |    |   | Unassigned PWU           |  |
| Attorney Docket Number  |   |    |   | 13072BAUS02U             |  |
| Sheet   | 1 | of | 1 |                          |  |

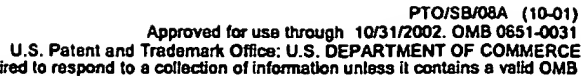
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|-----------------------|---------------|--------------------|---------|
| Examiner<br>Signature | <i>Jim Hu</i> | Date<br>Considered | 2/11/05 |
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Sheet 1 of 1

**Complete if Known**

|                        |                     |
|------------------------|---------------------|
| Application Number     | 09/930,119          |
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| Art Unit               | 2855 2143           |
| Examiner Name          | Unassigned PWL      |
| Attorney Docket Number | 13072BAUS02U        |

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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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11033 U.S. PTO  
09/930119  
08/15/01

SECTION 2: FORM PTO 1449 - MODIFIED

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Applicant: Schofield, et al. Atty Dkt: 2204/A92  
Serial No: Not yet assigned Date: August 15, 2001  
Date Filed: Herewith  
Invention: System, Device, and Method for managing Communication Services in an Optical Communication System

Commissioner for Patents  
Washington, DC 20231

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS'  
INFORMATION DISCLOSURE STATEMENT

Other Documents

Exam. Ref.

Init. No. Name

AA "Simple Wavelength Assignment Protocol", Stephen Suryaputra, et al., October 26, 1999.  
AB "Work on the Automatic Switched Optical Network", Contribution to T1 Standards Project - T1X1.5, Newsome, et. al., January, 2000.  
AC Memo: "MPLS Control Plane for Switched Optical Networks", MPLS Working Group Internet Draft, Krishnaswamy, et, al., February 2000.  
AD Memo: "IP Over Optical Networks: A Summary of Issues" Internet Draft, N. Chandhok, et al., July 2000.  
AE "Architecture for the Automatic Switched Optical Network" First Draft of G.ason, Mayer, September 13, 2000 - September 15, 2000.  
AF "Controlling Optical Data Networks with an Application Specific routing Protocol", Cisco Systems, Inc., 2000.  
AG Memo: "Generalized MPLS - Signaling Functional Description" Ashwood- Smith, Network Working Group Internet Draft, July 2001.  
AH "ASON - Requirements at the Client API", Newsome, et. al., September 2000.  
AI "Automatically Switched Optical Networks (ASON)", Nortel Networks Limited, June 2000.  
AJ "MPLS: A Progress Report", Peter Ashwood-Smith, et al., November 1, 1999, URL: <http://www.networkmagazine.com/article/NMG20000426S0015>.

Examiner: AM fur

Date Considered: 2/14/05

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